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ABSTRACT

The use and refinement of an innovative administrative evaluation system that has been operational at Vincennes University Junior College (Indiana) for 5 years are described. All professional university employees are annually given the opportunity to evaluate all personnel with supervisory responsibility who are above them in the chain of command. The purpose of the evaluation is self-improvement. The "cafeteria system" allows each administrator to select those items on which he or she will be evaluated, and also includes a university-wide core of items on which all staff members are evaluated. The evaluation instrument, which is appended, contains 99 items. Each respondent chooses 15 items on which he/she will be rated from the following categories: evaluating personnel; community relations; openness and flexibility; planning, budgeting, and prioritizing; leadership; personnel management; communication; overall perception of performance; promotion of quality programming; and organization. Each staff member is also rated on 15 core items, which are listed. A sample rating form for an administrator at the college is included. (SW)

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Evaluation of Administrators by Subordinates: A Cafeteria Approach

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This paper was presented at the Twenty-Sixth Annual Forum of the Association for Institutional Research held at the Marriott Orlando World Center, Orlando, Florida, June 22-25, 1986. This paper was reviewed by the AIR Forum Publications Committee and was judged to be of high quality and of interest to others concerned with the research of higher education. It has therefore been selected to be included in the ERIC Collection of Forum Papers.

Ann K. Dickey, Chair
Forum Publications Editorial
Advisory Committee

Evaluation of Administrators by Subordinates: A Cafeteria Approach

ABSTRACT: This paper reports on the use and refinement of an innovative administrative evaluation system which has been operational in a community college for five years. All professional university employees are annually given the opportunity to evaluate all personnel with supervisory responsibility - including the president - who are above them in their chain of command. The "cafeteria system" allows each administrator to select those items on which he or she will be evaluated.

Introduction and Perspectives

With increased movement toward accountability and general acceptance of the concept of administrative evaluation, it appears that the evaluation of administrators will continue to increase over the next decade. The purpose of this paper is to describe both the instrument and the process for administrative evaluation which has been used for the past few years at a state community college. The presenter is the institutional research officer who now administers and coordinates the system. The system was originally conceived, developed, and implemented by Dr. Frank Friedman, formerly Director of Institutional Research at Vincennes University and now Associate Dean for Planning and Management Services, Northern Virginia Community College, Annandale, VA. The writer is indebted to Dr. Friedman for his leadership in this process and for his assistance in preparing this presentation.

Literature Review

Various criteria and appraisal methods (Farmer, 1979; Fisher, 1978; Shtogren, 1978) have been suggested for use in the evaluation of academic ad-

ministrators. Fisher (1978) discussed rationale; performance, goals and criteria; approaches and uses; and implications. Berquist and Tenbring (1978), Lahti (1981), and Wattenbarger (1983) describe the major procedures used in university, college, and departmental administrator evaluation. These procedures are: (1) unstructured narration or essay appraisal; (2) unstructured documentation; (3) structured narration; (4) rating scales; (5) structured documentation; and (6) management by objectives. Lahti (1981) lists advantages and "pitfalls." Wattenbarger (1983) also suggests general guidelines and discusses special problems and future directions and trends in administrative evaluation.

One portion of the literature concentrates on the administrative evaluation of the department head by faculty. This interest is represented by Hengstler, Uhl, and Reichard (1981) and Hoyt (1979). Much of the seminal work in administrative evaluation has been done at Kansas State University's Center for Faculty Evaluation and Development in Higher Education; The Center's DECA (Departmental Evaluation of Chairperson Activities) is now widely used.

A comprehensive handbook for constructing instruments for faculty and administrator evaluation was prepared by Goodwin and Smith at West Virginia University (1981).

Cafeteria is a computer-assisted course and instructor appraisal system developed by the Measurement and Research Center at Purdue University (1974). It allows each faculty member to choose the items on which s/he wishes to be evaluated and then adds a university-wide core of items upon which all faculty members are evaluated.

Background

It is important to emphasize the purpose of the evaluation, since this would dictate the procedures employed. The purpose of administrative evaluation at Vincennes University is for self-improvement; the information is not used for merit decisions. The administrative evaluation is analogous with the use of student evaluations of instruction. Both permit upward communications, and provide an "environmental scan", as well as an opportunity to vent pent-up hostilities. Thus but both must be viewed within the total context of the academic process.

In 1981 the President appointed a task force to develop an administrative evaluation system. The task force was composed of the senior academic administrators and chaired by the Director of Institutional Research. After several nonproductive meetings, the Chair suggested that a task force of different composition--representing those who would have a voice in evaluating their superiors. A second broad based committee was established. After much deliberation they selected the "cafeteria" format. Each administrative evaluation instrument consists of a core of 15 items everyone uses, and a self-selected additional 15 items selected from a "master catalog" of 99 items. The 99 items in the master catalog were developed through a Delphi process. To appease the non-academic units, it was necessary to produce four separate catalogs, one each for Student, Financial, Instructional, and Community Services. For the three non-instructional catalogs the word "faculty" was changed to "staff" and "Instructional" was changed to "Community Services", "Financial Services", or "Student Services", respectively. A "comments" page is also included.

The advantages of the cafeteria format are the flexibility it allows the evaluatee to intentionally select some items while rejecting others, and that it provides structure and meaningful input. All major categories of the leadership task are represented--planning, budgeting, personnel management, organization, community relations, leadership, communications. The items are directed to address the major categories of administrative management, yet are worded to provide options which may be better suited to one or another individual. The disadvantages are the complexity of preparing and analyzing such a large number of different instruments, as well as identifying responses from different subordinate levels.

Procedure

In January each year, the appropriate catalog and a cover letter is given to each person to be evaluated by the Department Heads through the Division Offices. The catalogs, with the selected items circled, are returned to the Office of Institutional Research, which then codes each one with administrator's ID number, position, and number of people at each level who reports to him. The catalogs are then given to the Management Information Center where the data are keyed in and the appropriate number of evaluation instruments are prepared.

Working from an organizational chart prepared with each Division Chair, the Institutional Research Office prepares an envelope for every full time faculty and professional staff member. This envelope contains a cover letter and individualized instruments for each person above the recipient in the chain of command. Thus a faculty member receives an evaluation instrument for the Department Head, Division Chair, Dean, Vice President for Instruction, and President. A cover letter instructs him to evaluate each person on the items

indicated, add any optional written comments, and return the completed instruments to the President's Office.

When the completed evaluation is received by the President's Office, the comments pages are immediately detached and sent to an external typist for anonymous transcription. The completed questionnaires are sent to the Management Information Center where responses are keypunched. A FORTRAN program reprints the instrument, but instead of Likert-responses (SA, A, U, D, SD) the actual number of responses indicating that choice are shown. Thus each person who was evaluated receives a copy of his/her evaluation instrument on which all responses are shown, for each level of administration. That is, the President receives summaries of responses from Deans, Administrators, Department Heads, and Faculty.

The Office of Institutional Research would like to prepare norms for the core questions for each level of administration. It would be very useful for a Division Chair to have the normative information about how Department Heads assessed the Division Chairs on this item. The Management Information Center converted from SPSS to SAS data analysis support. Other assignments have prevented the Institutional Research Director from completing the norms transition at this time.

When the item analysis is completed, the evaluations are returned to the President's Office where they are reunited with a transcript of all comments received. Only one copy is made. The original is sent to the administrator's home and the copy to his immediate supervisor, through the chain of command. The bundle is first divided among the four vice-presidents. Each vice president sub-divides the packet among the major supervisors, to the Division Chair level.

The Division Chair sends the original to the administrator at his home address and keeps the copy for subsequent discussion with the Department Chair.

This evaluation system is used only for self-improvement. Typically, the person being evaluated is somewhat distressed by some of the responses and/or comments. He may ask his supervisor if there is anything in the evaluation that he should be concerned about. If not, then negative comments shouldn't be taken too seriously. Or, the person being evaluated may establish some goals to work on during the next year as a result of evaluation findings. Or, a Division Chair or Vice President may elect a particular faculty/staff development project to address a concern frequently stated in that unit s evaluations.

This evaluation system has now been used five consecutive years and is quite well supported by both the evaluators and those being evaluated. Now that it is well established, it is no longer an immense burden to conduct. The re-occurrence of historical incidents in the "comments" portion reinforces the value of an opportunity to express concerns anonymously.

At a year-end administrative retreat and in the findings of a North Central accreditation review, concern was expressed over meaningful use of the University Council. Perhaps it is time to review the administrative evaluation system, and perhaps a subcommittee of the Council can serve this purpose. Are the core items still relevant? Are the categories of leadership adequately covered, or should some items be replaced?

Implications for Institutional Researchers

Colleges and universities are constantly evaluating students, programs, and faculty. Faculty and professional staff seldom have an opportunity to evaluate those that supervise them. A carefully designed and widely accepted model should prove interesting to any institutional researcher who has been asked to review the institution's personnel evaluation system. When initiating such an evaluation system, Presidential leadership is essential. It is also strongly suggested that those who are to be evaluated are NOT the ones asked to design the system. Also, the cafeteria approach is recommended.

As faculty turnover becomes less frequent and university administrators are looking for additional ways to motivate increasingly complacent faculty, a well planned evaluation of administrators by their subordinates should prove a useful tool.

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VINCENNES UNIVERSITY

ADMINISTRATIVE EVALUATION
ITEM CATALOG

(INSTRUCTIONAL)

INSTRUCTIONS: The administrative evaluation will consist of 30 items: 15 core items and 15 items you select. Read the 15 core items. These will be automatically added to all evaluation forms. Please select 15 of the 99 catalog items by circling the number of each item you choose. Please choose exactly 15 items. Please return this catalog to Dr. Budig by **January 31, 1986.**

NAME _____

If you are a department or program chair, please indicate the number of full-time faculty reporting to you. _____

CORE ITEMS

1. Effectively meets the objectives of the position and "gets things done."
2. Creates an environment which encourages and fosters the development and implementation of new approaches or methods.
3. Encourages participation of appropriate faculty and staff members and groups in planning, procedures, and policy interpretation.
4. Is a careful, effective planner.
5. Leadership promotes an atmosphere conducive to others' personal/professional growth and learning.
6. Is willing to accept advice and suggestions from others.
7. Deals with personnel fairly, without favoritism or discrimination, while insisting on performance of duties.
8. Uses ingenuity and creativity, where necessary, to solve problems effectively.
9. Maintains high standards of ethics, honesty, and integrity in all professional and university related matters.
10. Demonstrated ability to approach problems with a positive, affirmative attitude.
11. Effectively supports and interprets the mission and philosophy of Vincennes University.
12. Communicates pertinent information to those concerned.
13. Provides the educational leadership necessary to produce quality programs.
14. Speaks well in front of large and small groups, expressing his/her ideas in a logical and forthright manner.
15. Makes sound and timely decisions.

CATALOG ITEMS

EVALUATING PERSONNEL

1. Provides for effective, careful, systematic and timely evaluation processes for professional, administrative, and clerical personnel.
2. Makes thoughtful evaluations of candidates for faculty and staff positions.

3. Acts fairly and objectively in matters having to do with salaries, evaluations, renewal, promotion and tenure.

4. Makes thoughtful and sound recommendations regarding faculty and staff appointments, promotion, and tenure decisions.

5. Recruits the best available personnel in terms of their competencies.

6. Recognizes and rewards meritorious achievements of his/ her subordinates.

7. Gives recognition to staff accomplishments.

COMMUNITY RELATIONS

8. Promotes constructive relationships between the college and the community.

9. Effectively interprets the objectives and needs of higher education in the region by maintaining close communication with local community leaders, the media, community groups, business groups, and cultural organizations.

10. Constructively interprets the school program and the policies to the community when the occasion arises.

11. Demonstrates an interest and an ability in giving professional advice and specialized assistance to outside units or public.

12. Achieves status as a community leader in public education.

OPENNESS AND FLEXIBILITY

13. Displays flexibility and respect for ideas of others.

14. Is a good listener.

15. Consistently displays a sound understanding of his/her duties and is very flexible in meeting new obligations.

16. Provides opportunity for and is receptive to individuals who express their ideas, opinions, and viewpoints.

17. Accepts credit or criticism for desirable or undesirable outcomes of his/her decisions or actions.

18. Recognizes the merits of differing methods and techniques.

19. Encourages divergent viewpoints.

20. Solicits and gives attention to problems and opinions of all groups and individuals.

PLANNING, BUDGETING AND PRIORITIZING

21. Recognizes and concentrates on areas essential to the operation of the college.

22. Usually has contingency plans available to meet unexpected situations and averts most emergencies by ample foresight.

23. Adequately assists the President in establishing the overall direction and priorities for the instructional area of the University.

24. Plans for future divisional needs.

25. Effectively assists each department head in the development and maintenance of budgetary matters.

26. Prepares and administers area budget effectively.

27. Estabishes proper priorities in the allocation of resources.

LEADERSHIP

28. Successful in motivating persons to perform effectively.

29. Takes leadership in college governance.

30. Promotes the educational goals of the college.

31. Assumes leadership for the overall morale of the faculty and staff.

32. Effectively advocates college-wide interests and positions.

33. Assumes responsibility for the effective implementation of the academic Programs.

34. Requires and maintains clearly recognized goals to carry out the tasks that each person must perform.

35. Successfully leads others without having to exercise authority unduly.

36. Supports those responsible to him/her.

37. Advises the dean wisely on staffing needs and problems.

38. Effectively serves committees where the interests of the division are involved.

39. Adequately represents his/her unit in the decision-making process at appropriate administrative levels.

40. Promotes educational goals of the college.

41. Inspires subordinates to perform at high quantitative and qualitative levels.

42. Supports and assists programs for faculty growth and development.

43. Handles conflict, dissent, and dissonance in a creative fashion.

44. Bases his/her position with regard to matters discussed by the Board upon principle and is willing to maintain that position without regard for its popularity until an official position has been reached, after which time he/she supports the decision of the Board, as long as he/she remains in its employ.

45. Defends principle and conviction in the face of pressure and partisan influence.

46. Willing to make decisions which may be unpopular yet be best for the overall program.

47. Effectively guides curriculum development.

PERSONNEL MANAGEMENT

48. Delegates authority effectively.

49. Consults with other administrators, faculty, and faculty and staff to make fair and realistic allocations of their energies.

50. Applies policies consistently and fairly.

51. Helps plan the staff's professional growth program and encourages participation in in-service education programs.

52. Tries to protect teachers from burdensome non-professional tasks.

53. Assigns tasks to others without undue interference with their implementation.

54. Seeks to maintain close working relationships with faculty.

55. Promotes an atmosphere of cooperation, mutual trust and high morale in the faculty within his/her unit.

56. Assigns work fairly.

57. Ensures that part-time and new faculty are familiar with college policies and procedures.

58. Maintains efficiency through delegation of responsibility and commensurate authority.

59. Actively encourages staff to seek professional development opportunities for increasing the range and depth of their competencies.

60. Involves others in the decisions that affect them.

COMMUNICATION

61. Uses language effectively in dealing with faculty and staff members, the board, and the public.

62. Makes constructive contributions to university meetings.

63. Gathers and disseminates examples of promising practices to faculty and staff.

64. Counsels with members of the division with reference to academic and other college problems.

65. Displays ability to give constructive criticism in a positive manner.

66. Responds effectively to persons referred by faculty and staff members for advice or assistance.

67. Is available to counsel and assist his/her subordinates.

OVERALL PERCEPTION OF PERFORMANCE

68. Earns respect from the university community.

69. Has excellent knowledge and is well skilled in all phases of the job.

70. Earns respect and standing among his/her professional colleagues.

71. Functions in a manner compatible with the plans and policies of the college.

72. Works effectively with faculty members.

73. Earns respect of division chairmen, department chairmen, and faculty.

74. Works effectively with other administrators.

75. Earns respect from division faculty.

76. Is conscientious in carrying out those tasks which he/she has stated will be done.

77. Implements the decisions of superiors in a rational, effective, and efficient manner.

78. Has the knowledge necessary to perform the job.

79. Works effectively with students.

80. Maintains poise and emotional stability in the full range of his/her professional activities.

81. Is enthusiastic about his/her work.

PROMOTION OF QUALITY PROGRAMMING

82. Places an appropriate priority on effective teaching.

83. Effectively maintains and evaluates the overall quality of the instructional program of the university.

84. Assists and encourages teachers to adjust their educational program to individual pupil needs and abilities.

85. Actively promotes an instructional program which enhances student success.

86. Considers the activities of the classroom as being of primary importance to the school program.

87. Assists teachers in developing effective syllabi.

88. Provides assistance toward helping teachers improve.

89. Helps new instructors (including day and evening part- time instructors) to familiarize them with courses, textbooks, and methods.

ORGANIZATION

90. Keeps informed on needs of the school program--plant, facilities, equipment, and supplies.

91. Attends to details effectively.

92. Sets rational priorities so that the implementation of decisions and the conduct of meetings take place in a timely fashion.

93. Formulates and executes division practicesregarding courses to be offered each semester and teaching assignments of particular courses.

94. Effectively uses available resources of personnel, time, money, materials, equipment, space, reference material, and other facilities.

95. Effectively organizes the schedule of classes for the division.

96. Effectively manages the ordering, repairing and storing of laboratory and other departmental equipment.

MISCELLANEOUS

97. Keeps abreast of trends and promising practices by reading journals, periodicals, books, and other literature.

98. Keeps up-to-date on standards, offerings and needs of all institutions or agencies to which our students may progress.

99. Actively participates in campus activities.

VINCENNES UNIVERSITY 1986
ADMINISTRATIVE EVALUATION OF:
BILL G SPENCE DEAN OF OCCUPATIONAL EDUCATION
BY FACULTY/PROFESSIONAL

CORE ITEMS :	SA	A	D	SD	I DON'T KNOW
1. EFFECTIVELY MEETS THE OBJECTIVES OF THE POSITION AND "GETS THINGS DONE."	4	3	2	1	0
2. CREATES AN ENVIRONMENT WHICH ENCOURAGES AND FOSTERS THE DEVELOPMENT AND IMPLEMENTATION OF NEW APPROACHES OR METHODS.	4	3	2	1	0
3. ENCOURAGES PARTICIPATION OF APPROPRIATE STAFF MEMBERS AND GROUPS IN PLANNING, PROCEDURES, AND POLICY INTERPRETATION.	4	3	2	1	0
4. IS A CAREFUL, EFFECTIVE PLANNER.	4	3	2	1	0
5. LEADERSHIP PROMOTES AN ATMOSPHERE CONDUCIVE TO OTHERS' PERSONAL/PROFESSIONAL GROWTH AND LEARNING.	4	3	2	1	0
6. IS WILLING TO ACCEPT ADVICE AND SUGGESTIONS FROM OTHERS.	4	3	2	1	0
7. DEALS WITH PERSONNEL FAIRLY, WITHOUT FAVORITISM OR DISCRIMINATION, WHILE INSISTING ON PERFORMANCE OF DUTIES.	4	3	2	1	0
8. USES INGENUITY AND CREATIVITY, WHERE NECESSARY, TO EFFECTIVELY SOLVE PROBLEMS.	4	3	2	1	0
9. MAINTAINS HIGH STANDARDS OF ETHICS, HONESTY, AND INTEGRITY IN ALL PROFESSIONAL AND UNIVERSITY RELATED MATTERS.	4	3	2	1	0
10. DEMONSTRATED ABILITY TO APPROACH PROBLEMS WITH A POSITIVE, AFFIRMATIVE ATTITUDE.	4	3	2	1	0
11. EFFECTIVELY SUPPORTS AND INTERPRETS THE MISSION AND PHILOSOPHY OF VINCENNES UNIVERSITY.	4	3	2	1	0
12. COMMUNICATES PERTINENT INFORMATION TO THOSE CONCERNED.	4	3	2	1	0
13. PROVIDES THE EDUCATIONAL LEADERSHIP NECESSARY TO PRODUCE QUALITY PROGRAMS.	4	3	2	1	0
14. SPEAKS WELL IN FRONT OF LARGE AND SMALL GROUPS, EXPRESSING HIS/HER IDEAS IN A LOGICAL AND FORTHRIGHT MANNER.	4	3	2	1	0
15. MAKES SOUND AND TIMELY DECISIONS.	4	3	2	1	0

VINCENNES UNIVERSITY 1986
ADMINISTRATIVE EVALUATION OF:
BILL G SPENCE DEAN OF OCCUPATIONAL EDUCATION
BY FACULTY/PROFESSIONAL

CATALOG ITEMS :	SA	A	D	SD	I DON'T KNOW
3. ACTS FAIRLY AND OBJECTIVELY IN MATTERS HAVING TO DO WITH SALARIES, EVALUATIONS, RENEWAL, PROMOTION AND TENURE.	4	3	2	1	0
8. PROMOTES CONSTRUCTIVE RELATIONSHIPS BETWEEN THE COLLEGE AND THE COMMUNITY.	4	3	2	1	0
16. PROVIDES OPPORTUNITY FOR AND IS RECEPTIVE TO INDIVIDUALS WHO EXPRESS THEIR IDEAS, OPINIONS, AND VIEWPOINTS.	4	3	2	1	0
24. PLANS FOR FUTURE DIVISIONAL NEEDS.	4	3	2	1	0
27. ESTABLISHES PROPER PRIORITIES IN THE ALLOCATION OF RESOURCES.	4	3	2	1	0
35. SUCCESSFULLY LEADS OTHERS WITHOUT HAVING TO EXERCISE AUTHORITY UNDULY.	4	3	2	1	0
36. SUPPORTS THOSE RESPONSIBLE TO HIM/HER.	4	3	2	1	0
42. SUPPORTS AND ASSISTS PROGRAMS FOR FACULTY GROWTH AND DEVELOPMENT.	4	3	2	1	0
46. WILLING TO MAKE DECISIONS WHICH MAY BE UNPOPULAR YET BE BEST FOR THE OVERALL PROGRAM.	4	3	2	1	0
48. DELEGATES AUTHORITY EFFECTIVELY.	4	3	2	1	0
67. IS AVAILABLE TO COUNSEL AND ASSIST HIS/HER SUBORDINATES.	4	3	2	1	0
71. FUNCTIONS IN A MANNER COMPATIBLE WITH THE PLANS AND POLICIES OF THE COLLEGE.	4	3	2	1	0
74. WORKS EFFECTIVELY WITH OTHER ADMINISTRATORS.	4	3	2	1	0
78. HAS THE KNOWLEDGE NECESSARY TO PERFORM THE JOB.	4	3	2	1	0
90. KEEPS INFORMED ON NEEDS OF THE SCHOOL PROGRAM—PLANT, FACILITIES, EQUIPMENT, AND SUPPLIES.	4	3	2	1	0

VINCENNES UNIVERSITY 1986
ADMINISTRATIVE EVALUATION OF:
BILL G SPENCE DEAN OF OCCUPATIONAL EDUCATION
BY FACULTY/PROFESSIONAL

COMMENTS :